

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

Applicant or Inventor: JANET K. YAMAMOTO &amp; NIELS C. PEDERSEN

Serial or Patent No.:

Fees Issued: Herewith

Title: METHODS AND COMPOSITIONS FOR VACCINATING AGAINST FELINE IMMUNODEFICIENCY VIRUS

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION: THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

ADDRESS OF NONPROFIT ORGANIZATION: 300 Lakeside Drive, 22nd Floor, Oakland, California 94612-3550

## TYPE OF NONPROFIT ORGANIZATION

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC 501(a) and 501(c)(3)]
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OR THE UNITED STATES OF AMERICA  
(NAME OF STATE )  
(CITATION OF STATUTE )
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC 501(a) and 501(c)(3)] IF  
LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED  
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE )  
(CITATION OF STATUTE )

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention, entitled by inventor(s) described in:

☒ the specification filed herewith.☐ application Serial No. \_\_\_\_\_, filed \_\_\_\_\_☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern that would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME

N/A

ADDRESS

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME

N/A

ADDRESS

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING

Linda S. Stevenson

TITLE IN ORGANIZATION OF PERSON SIGNING

Senior Prosecution Analyst

ADDRESS OF PERSON SIGNING

300 Lakeside Drive, 22nd Floor, Oakland CA 94612-3550

SIGNATURE

DATE

10/24/94

**DECLARATION**

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **METHODS AND COMPOSITIONS FOR VACCINATING AGAINST FELINE IMMUNODEFICIENCY VIRUS** the specification of which XX is attached hereto or \_\_\_ was filed on \_\_\_ as Application Serial No. \_\_\_\_\_ and was amended on \_\_\_ (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

**Prior Foreign Application(s)**

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119
na			Yes ___ No ___
			Yes ___ No ___

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Serial No.	Date of Filing	Status
07/995,304	12/21/92	___ Patented <u>X</u> Pending ___ Abandoned
07/726,061	07/05/91	___ Patented ___ Pending <u>X</u> Abandoned
08/226,447	04/12/94	___ Patented <u>X</u> Pending ___ Abandoned
07/832,201	02/06/92	___ Patented ___ Pending <u>X</u> Abandoned
07/614,474	11/16/90	<u>X</u> Patented ___ Pending ___ Abandoned
07/089,700	08/26/87	___ Patented ___ Pending <u>X</u> Abandoned

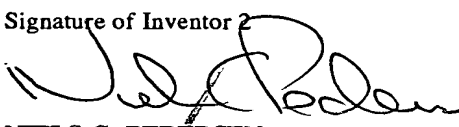
Full Name of Inventor 1	Last Name <b>YAMAMOTO</b> 150	First Name <b>JANET</b>	Middle Name or Initial <b>K.</b>	
Residence & Citizenship	City <b>GAINESVILLE</b> ✓	State/Foreign Country <b>FLORIDA</b>	Country of Citizenship <b>USA</b>	
Post Office Address	Post Office Address <b>4309 S.W. 77TH STREET</b>	City <b>GAINESVILLE</b>	State/Country <b>FLORIDA FL</b>	Zip Code <b>32608</b>
Full Name of Inventor 2	Last Name <b>PEDERSEN</b>	First Name <b>NIELS</b>	Middle Name or Initial <b>D.</b>	
Residence & Citizenship	City <b>WINTERS</b>	State/Foreign Country <b>CALIFORNIA</b>	Country of Citizenship <b>USA</b>	
Post Office Address	Post Office Address <b>4011 CANAL LANE</b>	City <b>WINTERS</b>	State/Country <b>CALIFORNIA</b>	Zip Code <b>95965</b>
Full Name of Inventor 3	Last Name <b>///</b>	First Name	Middle Name or Initial	
Residence & Citizenship	City	State/Foreign Country	Country of Citizenship	
Post Office Address	Post Office Address	City	State/Country	Zip Code

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1  <i>Janet K. Yamamoto</i> <b>JANET K. YAMAMOTO</b>	Signature of Inventor 2  <b>NIELS C. PEDERSEN</b>	Signature of Inventor 3  <b>///</b>
Date <i>October 22, 1984</i> /	Date	Date

Full Name of Inventor 1	Last Name <b>YAMAMOTO</b>	First Name <b>JANET</b>	Middle Name or Initial <b>K.</b>	
Residence & Citizenship	City <b>GAINESVILLE</b>	State/Foreign Country <b>FLORIDA</b>	Country of Citizenship <b>USA</b>	
Post Office Address	Post Office Address <b>4309 S.W. 77TH STREET</b>	City <b>GAINESVILLE</b>	State/Country <b>FLORIDA</b>	Zip Code <b>32608</b>
Full Name of Inventor 2	Last Name <b>PEDERSEN</b> 2-00	First Name <b>NIELS</b>	Middle Name or Initial <b>D.</b>	
Residence & Citizenship	City <b>WINTERS</b>	State/Foreign Country <b>CALIFORNIA</b>	Country of Citizenship <b>USA</b>	
Post Office Address	Post Office Address <b>4011 CANAL LANE</b>	City <b>WINTERS</b>	State/Country <b>CALIFORNIA CA</b>	Zip Code <b>95965</b>
Full Name of Inventor 3	Last Name <b>///</b>	First Name	Middle Name or Initial	
Residence & Citizenship	City	State/Foreign Country	Country of Citizenship	
Post Office Address	Post Office Address	City	State/Country	Zip Code

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Signature of Inventor 1	Signature of Inventor 2	Signature of Inventor 3
<b>JANET K. YAMAMOTO</b>	 <b>NIELS C. PEDERSEN</b>	<b>///</b>
Date	Date <b>10/17/94</b>	Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Enter Application of	)	
SANET K. YAMAMOTO et al.	)	Examiner: unassigned
Serial No.: unassigned	)	Art Unit: unassigned
Filed: Herewith	)	
For: METHODS AND COMPOSITIONS	)	<b>POWER OF ATTORNEY BY</b>
FOR VACCINATING AGAINST	)	<b>ASSIGNEE AND EXCLUSION</b>
FELINE IMMUNODEFICIENCY	)	<b><u>OF INVENTOR(S) UNDER RULE 32</u></b>
VIRUS	)	

Hon. Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

The undersigned assignee of the entire interest in the above-identified subject application hereby appoints Albert J. Hillman, Reg. No. 20,134, James M. Heslin, Reg. No. 29,541, and William M. Smith, Reg. No. 30,223, of the firm of Townsend and Townsend Kourie and Crew, as its attorneys to prosecute this application and to transact all business in the Patent Office connected therewith, said appointment to be to the exclusion of the inventors and their attorney(s) in accordance with the provisions of Rule 32 of the Patent Office Rules of Practice.

The Assignment accompanying this Power of Attorney has been reviewed by the undersigned. The undersigned certifies that to the best of the undersigned's knowledge and belief, title is in the Assignee. The undersigned (whose title is supplied below) is empowered to act on behalf of the Assignee. Please direct all correspondence and telephone calls relative to said application to:

James M. Heslin, Esq.  
TOWNSEND AND TOWNSEND KHOURIE and CREW  
One Market, Steuart Street Tower  
San Francisco, California 94105

ASSIGNEE: THE REGENTS OF THE UNIVERSITY  
OF CALIFORNIA

Signature:

*Junda S. Stevenson*

Title:

Senior Prosecution Analyst

Address:

Office of Technology Transfer  
300 Lakeside Drive, 22nd Floor  
Oakland, California 94612-3550

Dated 10/24/94